

**Indiana State Department of Health
Health Care Quality and Regulatory Commission**

Request for Grant Applications

The Indiana State Department of Health (ISDH) Health Care Quality and Regulatory Commission is requesting grant applications for projects designed to reduce deficient practices in nursing homes in Indiana or improve quality of life for nursing home residents in Indiana. The ISDH periodically offers grants as part of the CMS Civil Money Penalty (CMP) Fund. The ISDH administers this fund for the State of Indiana. This *Request for Grant Applications* provides information about the grant opportunity.

Summary of Grant Opportunity

GRANT NUMBER: ISDH CMP 2018-01

DATE OF RELEASE: Friday, April 20, 2018

GRANT OPPORTUNITY TITLE: Emergency Preparedness Planning in Nursing Homes

APPLICATION DEADLINE: Grant Applications must be received by Monday, May 14, 2018, at 5:00 p.m. EST.

DESCRIPTION of GRANT OPPORTUNITY: The ISDH is inviting grant applications to improve emergency and disaster management by long term care providers and their partners.

Request for Grant Applications Application Requirements and Process

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1. Eligibility

All public or private organizations, agencies, faith-based organizations, and academic institutions are eligible to apply for this grant opportunity. Applicants must demonstrate a clear understanding of the requested services and program requirements. Applicant must demonstrate the capability and capacity to provide the proposed services.

Applicants must be in a position to operate on a cost-reimbursement basis, accept electronic funds transfer (EFT), and become an Indiana registered vendor prior to billing for services. Individuals not operating within an established organization, agency, business or other entity are not eligible to apply for this grant opportunity.

In order to enter into a legal agreement to do business with the state, entities are required to complete the following:

- a. Completion of the following forms for Indiana Auditor of State vendor registration
 - i. W-9 Form located at: <http://www.irs.gov/pub/irs-pdf/fw9.pdf>
 - ii. Direct Deposit Form located at: <https://forms.in.gov/Download.aspx?id=11695>
- b. Completion of Indiana Department of Administration bidder profile registration located at: <http://in.gov/idoa/2464.htm>
- c. Completion of a Business Entity Report with the Indiana Secretary of State, located here: <https://inbiz.in.gov/BOS/Home/Index>

2. Purpose of Grant

The purpose of this *Request for Grant Applications* is to improve emergency and disaster management by long term care providers and their partners.

Indiana has a history of major disasters impacting nursing homes. The blizzard of 1978 is well remembered for its impact on health care providers for staffing and supplies. On May 30, 2004, a tornado hit a nursing home in Indianapolis causing injuries and requiring the immediate evacuation of the facility. In June and September 2008, significant statewide flooding occurred that impacted over 100 health care facilities. This included whole or partial evacuation of a number of nursing homes. Indiana also lies on two faults that increase the potential for a major earthquake. Emergencies may also be of a public health origin rather than a natural disaster. Pandemic and contagious disease outbreaks are always a risk.

On September 16, 2016, CMS published a final rule establishing new emergency preparedness requirements for Medicare and Medicaid participating health care facilities. The standards require health care facilities to conduct risk assessments using an all-hazards approach; develop emergency preparedness plans, policies, and procedures; create distinct communications plans; and establish training and testing programs. Facilities are required to have emergency and standby power systems that reflect their emergency plans.

The implementation date for the new requirements was November 15, 2017. Updating emergency preparedness plans has been a challenge for providers. Most healthcare providers do not have training on preparedness planning and have little knowledge about preparedness infrastructure.

The purpose of this grant will be to develop and implement a training program to give long term care staff knowledge and experience needed to create detailed emergency preparedness plans towards ensuring the health and safety of nursing home residents.

3. Description of Requested Services

The ISDH is seeking one or more applicants to develop a training program specific to nursing homes and provide the training statewide. Applicants are expected to demonstrate how funding will be used to benefit the quality of care and quality of life of nursing home residents.

The following are specific minimum components to be included:

- This is expected to be up to a two-year grant.
- The grantee is expected to have considerable expertise in aging, health care education, curriculum development, and measurement.

- The grantee will develop a training course specific to nursing homes on the topic of emergency preparedness planning. The content will include required components of CMS health care facility regulations for nursing homes.
- The course will include content on the particular needs of vulnerable adults.
- The course will include preparedness exercises / drills meeting CMS standards.
- The course will be provided regionally throughout the state at multiple locations and include in-person classes. The course may also include online or outside classroom content.
- The grant will fund course development, resource materials, and providing of the course at no cost to participants except for those expenses that cannot be funded by CMP funds (i.e. food).
- The grantee will submit a final project report at the conclusion of the project to include goals, objectives, measures, activities, events, resource materials, outcomes (quantitative and qualitative), and participation.

4. Summary of Funding

a. Funding Information

- i. The ISDH has allocated up to \$ 175,000 to be used for this grant opportunity.
- ii. This funding opportunity is for a maximum of two (2) years. The proposal(s) may be submitted and/or approved for a period of less than two (2) years.
- iii. Once the ISDH preliminarily selects a proposal for grant funding, the ISDH sends the proposal to the Centers for Medicare and Medicaid Services (CMS) for approval. CMS must approve the proposal prior to final selection and contracting.

b. Funding Limitations

- i. None of the funding may be used for the purchase of food or beverages.
- ii. All awards and disbursement of funds under this *Request for Grant Applications* are contingent upon availability of funds to the ISDH and at the discretion of the ISDH.
- iii. ISDH reserves the right to not approve or to partially fund any proposal applying under this *Request for Grant Applications*.

5. Application and Review Schedule

The following is a preliminary timeline for the application and review process. The timeline is tentative and subject to change at any time.

	Event:	Date:	Time (if applicable):
1	<i>Request for Grant Applications</i> released	04/20/2018	

2	Questions about the <i>Request for Grant Applications</i> due	05/07/2018	5:00 pm EST
3	Answers to questions posted by ISDH	05/09/2018	5:00 pm EST
4	Application due date	05/14/2018	5:00 pm EST
5	Preliminary notice of awards provided	05/18/2018	
6	ISDH submits selected proposal(s) to CMS for review and approval	05/21/2018	
7	CMS has 45 days to complete review or request additional information	07/05/2018	
8	ISDH issues final approval or denial of application	07/13/2018	
9	Revised application and budget revisions due reflecting any changes during the review process	07/20/2018	
10	ISDH begins contracting process	07/20/2018	
11	Proposed contract start date	09/01/2018	

The timeline includes the opportunity for applicants to ask questions about the grant opportunity. The ISDH will review each question and post answers on the CMP Project Center web page. Questions should be sent to bgarten@isdh.IN.gov.

6. Application Instructions

- a. General Submission Requirements
 - i. Each page of the proposal must be numbered sequentially.
 - ii. The application must follow the format and order presented in this guidance. Applications that do not follow this format and order will not be reviewed.
 - iii. All sections of the application must be submitted. Applications missing required sections will not be reviewed.
- b. Application Deadline
 - i. Applications shall be submitted electronically to: bgarten@isdh.IN.gov.
 - ii. Complete applications must be submitted no later than Monday, May 14, 2018, at 5:00 pm. Applications submitted after that date will not be reviewed.

7. Application Content

OVERVIEW

The application must contain the following content:

1. Applicant information page

2. Abstract of proposal
3. Grant proposal
 - a. Background information on project
 - b. Information on grantee capabilities and capacity
 - c. Project team
 - d. Project timeline
 - e. Project description
 - i. Overview
 - ii. Project goals
 - iii. Project objectives
 - iv. Project description and measures
 - v. Project deliverables
 - f. Expected outcomes
 - g. Outcome measures
 - h. Sustainability
 - i. Non-supplanting
 - j. Benefits to nursing home residents
 - k. Consumer and stakeholder involvement
4. Attachments
 - a. Budget
 - b. Organization chart
 - c. Bio-sketches of key staff
 - d. Letter of commitment from any subcontractors
 - e. Copy of HHS Indirect Cost Agreement (if college or university)

APPLICANT INFORMATION PAGE

The first page of the application serves as the applicant information page. The page is intended to provide information about the applicant and identify which grant opportunity the application is for. The applicant must complete all items listed below:

- ISDH's name of grant opportunity and grant number for which the application is being submitted
- Applicant's name for proposed project
- Name of entity / organization submitting proposal
- Address (Street, City, State, Zip Code)
- Name and title of contact person
- Contact person's phone number
- Contact person's e-mail address
- Organization's federal employer identification number

- Name, title, and contact information for person authorized to sign contract
- Total number of pages in the proposal

ABSTRACT OF PROPOSAL

The applicant must provide an abstract of the proposal. The abstract is intended to provide a brief summary of the proposed project. The abstract should provide the reviewer a succinct and clear overview of the proposed project.

GRANT PROPOSAL

BACKGROUND INFORMATION ON PROJECT

The applicant must include a discussion of the issue that the project intends to address. This includes a statement of the problem and its impact on nursing home residents. The discussion may include an overview of research or studies on the issue, existing models or programs designed to address the problem, data on the issue, and prior projects or initiatives and their success.

INFORMATION ON GRANTEE CAPABILITIES AND CAPACITY

This section is intended to enable reviewers to gain a clear understanding of your organization and its ability to carry out the proposed project. The following are items that would be relevant to this section:

- Provide a brief history of the organization and capability, experiences, and major accomplishments implementing the same or similar projects as those proposed in this application.
- Describe the administrative structure of the organization within which the project will function, including an organizational chart that clearly identifies all proposed services.
- If you are partnering with any other organizations, explain the history of this partnership.
- Discuss the applicant organization's previous or current work related to the proposed service(s).

- Describe organizational capacity and plans to provide services and activities specific to the project. This should include any specific subject matter expertise.
- Describe resources available (within the applicant entity and its partner organizations) for the proposed project (e.g., facilities, equipment).
- Identify project locations and discuss how they will be an asset to the project.

PROJECT TEAM

This section is intended to identify the Project Director and key individuals involved in the project and the organization structure for the project. The narrative should:

- Provide the organization of the Project Director and key individuals and organizations involved in the project.
- Identify key staff and/or collaborative partners that will be responsible for implementing the proposed activities and their responsibilities, knowledge, skills, and expertise.
- Identify the organization(s), agency(ies), or program(s) that will be involved in the project. For each entity, specify the type of involvement, such as sharing resources, conducting joint activities, collaboration with training, or additional funding source.
- Include bio-sketches of key individuals providing a description of their qualifications for the project. These may be included as an attachment rather than in the narrative.

PROJECT TIMELINE

This section is intended to provide an estimated timeline of key activities and deliverables in the project.

PROJECT DESCRIPTION

1. OVERVIEW

This section is intended to provide a brief overview of the project and participants. The applicant must provide the overall plan and process for the project.

2. PROJECT GOALS

This section is intended to identify project goals. Project goals should relate to the intended ultimate outcomes. The number of goals is likely no more than two or three goals for a project.

3. PROJECT OBJECTIVES

This section is intended to identify project objectives. An objective is generally a specific result that the project desires to achieve within a provided time frame and resources. Objectives are basic tools that underlie all planning and strategic activities.

4. PROJECT DESCRIPTION and MEASURES

This section is intended to describe the proposed activities and plans of the project. Proposed activities must tie directly to the proposed goals and objectives. The following are potential areas of discussion to be included:

- Identify the evidence based or promising practice(s) to be implemented and discuss how it addresses the purpose, goals and objectives of the proposed project. Cite sources of evidence.
- Identify and justify any modifications or adaptations to the evidence-based or promising practice that are proposed (or have already been made) to the proposed practice(s) to meet the goals of the project and why it is believed the changes will improve the outcomes.
- Discuss the evidence that shows that this practice is effective with the population(s) of focus.
- Describe how the proposed practice(s) will be implemented.
- Describe how the populations of interest will be identified, recruited and retained. Using knowledge of beliefs, norms and values, and socioeconomic factors of the population of focus, discuss how the proposed approach addresses these issues in outreaching, engaging, and delivering programs to this population (e.g. collaborating with community gatekeepers).

- Summarize what the applicant hopes to achieve through implementation of your selected strategy/strategies.
- Identify and describe your relationships with collaborative partners.
- Describe how collaborative relationships are utilized (goals, activities) and maintained.

5. PROJECT DELIVERABLES

In this section, the applicant must provide project deliverables. These deliverables should be based on thresholds, events, activities, outcomes, or other identifiable criteria. These deliverables are generally used in the resulting contract as the basis for reimbursement / funding.

One of the deliverables will be the submission of periodic reports. Periodic reports are generally required annually with a comprehensive final project report required at the conclusion of the project.

EXPECTED OUTCOMES

This section is intended to identify intended project outcomes. The outcomes should be based on the project goals.

OUTCOME MEASURES

This section is intended to provide a description of the methods by which the project outcomes will be assessed. The applicant must provide specific measures as part of the project quality assurance, performance improvement, and project evaluation plan. All applicants are required to collect data for reporting purposes. This information must be collected on an on-going basis and reported quarterly and annually. In this section, the applicant organization must document its ability to collect and report on the required priority measurements.

Applicants should include the following information to include responsible staff and frequency:

- Describe plan for data collection. Specify all instruments to be used and specifically describe current collection efforts and plans to expand (as needed) to prioritize measurements.
- Describe plan for data analysis.
- State well-defined outcome measures that you will use to evaluate progress toward meeting each of your stated objectives.
- Describe how those measures will be monitored.

SUSTAINABILITY

This section is to describe the plan for sustaining the project goals once the project is completed. The proposal should describe how that will be accomplished.

NON-SUPPLANTING

CMP funds may not supplant existing reimbursement requirements. This section is intended to provide a description of the manner in which the project will not supplant existing responsibilities of the nursing home to meet existing Medicare/Medicaid requirements or other statutory and regulatory requirements.

BENEFITS TO NURSING HOME RESIDENTS

This section is intended to provide a brief description of the manner in which the project will benefit nursing home residents.

CONSUMER AND STAKEHOLDER INVOLVEMENT

This section is intended to provide a description of how the nursing home community (including resident and/or family councils and direct care staff) will be involved in the development and implementation of the project.

ATTACHMENTS

A. BUDGET

The applicant must provide a proposed budget for the project. The budget must include the specific amount of funding to be used for the project, the time period of that use, and an estimate of any non-CMP grant funds that the grantee expects to be used in the project. The budget justification must provide the categories and amounts of expenditures for the project sufficient to identify budget for key thresholds and activities. The budget must include any fees or costs that will be charged to participants.

The budget may not include funding for items prohibited by federal requirement to include the following:

- No funding may be used for the purchase of food or beverages.
 - While no funds from this grant may be used for food or beverages, a project may obtain external funding from organizations or other entities to pay for food or beverage. A project may also charge a registration fee to pay for food and beverage.
- Travel costs must not exceed federal or state travel allowances, whichever is the least. This includes the federal and state mileage rates. In general, lodging is not allowed for travel of less than fifty (50) miles.

CMS prohibits certain uses of CMP funds as follows:

- Project length: Projects are intended to be short term projects. Projects longer than three years will not be approved.
- Conflict of interest: Projects for which a conflict of interest exists or the appearance of a conflict of interest exists will not be approved.
- Ineligible recipients: There are no categorically-approved uses of CMP funds for a nursing facility that was cited in its previous standard survey with immediate jeopardy or harm at deficiency level H or I.
- Duplication: Funds may not be used to pay entities to perform functions for which they are already paid by State or federal sources.
- Capital improvements: Funds may not be used to pay for capital improvements to a nursing home.
- Nursing home services or supplies: Funds may not be used to pay for nursing home services or supplies that are already the responsibility of the nursing home.
- Temporary manager salaries: Funds may not be used to pay the salaries of temporary managers who are actively managing a nursing home.

- Expansion of statutory programs: Funds may not be used to update a State's Long Term Care Ombudsman Program's consumer education materials, or recruit or train Ombudsman staff or volunteers, or investigate complaints.

B. ORGANIZATION CHART

The applicant may provide an organization chart for the sponsoring organization and the project organization.

C. BIO-SKETCHES OF KEY STAFF

Bio-sketches of key staff and organization partners may be included to provide a description of qualifications related to the project.

D. LETTERS OF COMMITMENT FROM ANY SUBCONTRACTORS

The applicant may include letters of commitment from any subcontractors or letters of support.

E. COPY OF HHS INDIRECT COST AGREEMENT (if college or university)

Indiana allows colleges or universities to charge for indirect costs if they have an U.S. Department of Health and Human Services (HHS) Indirect Cost Agreement. A copy of that agreement must be provided if the budget includes indirect costs.

8. Application Review Process

The application review process will be conducted by ISDH staff. Each application will be scored for technical merit and evaluated within the parameters set forth in this *Request for Grant Applications*. All applications will receive a point score of up to 100 points based on whether the project meets the goals of the ISDH, need for the project, probability of success, and how clearly and concisely the categories and requirements are addressed. The application with the highest score will be considered for funding under this grant opportunity. The point categories and potential scores are listed below:

Application Component	Maximum Points
Adherence to Mandatory Requirements	Pass / Fail
Application Cover Page	Pass / Fail
Abstract (topic and need for project)	10
Grantee Capabilities and Capacity	20
Project Description Plan	20
Outcomes and Measures Plan	10
Sustainability Plan	10
Benefit to Residents	10
Consumer and Stakeholder Involvement	10
Budget	10
Total	100

9. Contract Award Process

Any contracts resulting from this grant opportunity will be based upon a competitive review and award process. The ISDH will select agencies and organizations to fund with CMP funds based upon the results of the review process. If an applicant fails to finalize a contract within a reasonable time frame, the ISDH reserves the right to fund another application.

10. Contract Period and Ethical Considerations

Following an award notification, applicants may be required to submit an amended Application and Budget in accordance with ISDH requirements. These documents will be utilized to develop the formal grant contract. A contract will then be established between ISDH and the funded grantee after CMS approval as indicated in Section 11 below. The contract period will begin on a date agreed to by both the ISDH and the grantee.

Upon contract execution, the grantee must agree to abide by all ethical requirements that apply to persons who have a business relationship with the State. If a grantee is not familiar with these requirements, questions can be referred to the Indiana State Ethics Commission, or can be found on the Inspector General's website at <http://www.in.gov/ig/>.

Any entity entering into a contract with the State must certify that neither it, nor its' principal is presently in arrears in payment of taxes, permit fees or other statutory, regulatory or judicially required payments to the State of Indiana. In addition, a contracting

organization must warrant that it has no current, pending or outstanding criminal, civil or enforcement actions initiated by the State, and agree that it will notify the State immediately of any such actions.

11. CMS Approval

CMP funds are subject to the approval of the Centers for Medicare and Medicaid Services (CMS). Once the ISDH preliminarily selects a project for grant funding, the ISDH sends the proposal to CMS for their review and approval. CMS must approve all projects and use of funds.